

University Human Resources

Performance Appraisal Cycle 2023 -2024
Management Guide



2023 2024 Performance Appraisal Timeline

- Staff are encouraged to begin writing and submitting their self-evaluations in Workday starting in February 2022.
- Performance reviews for 2022-2023 will be delivered to Managers' Workday inbox **on March 19, 2024.**
- Please complete the appraisal and submit it to your Performance Partner for review and/or approval **by May 22, 2024.** Once approved by the Performance Partner, appraisals route to Employee and Labor Relations for final review and then to employees. Managers will receive a notification of employees' receipt of the appraisal.
- A **flow chart** documenting the full submission and review process in Workday is available on the UHR Performance website.
- Your assigned Assistant Director of Employee and Labor Relations is also available to assist you to prepare your conversations with staff about performance.
- For assistance with completing the form in Workday please view the Completing Annual Performance Appraisals **job aid** available in Workday Learning.



What is required as a Manager?

- Have regular conversations throughout the year to review how well the employee is meeting performance expectations, or not, and review ways the outcome might have been enhanced.
- Complete an Annual Staff Performance Evaluation form for employees, including an assessment of the staff member's accomplishment of goals and key responsibilities, new skills demonstrated during the year, and your assessment of the staff member's mastery of the University's core competencies.
- The core competencies defined in the next slide are generally required of all Brown staff. When reviewing the core competencies as you prepare the appraisal, it's helpful to include examples to support your assessment.
- Talk with your Human Resources Employee Relations representative if you plan to assess an overall rating of "requires improvement" for any staff member. Appraisals with this rating require approval from University Human Resources in advance of submitting the appraisal to the employee, as well as a discussion with your Employee Relations representative to plan next steps to address performance issues.



Core Competencies for All Staff

Core Competencies for All Staff	
Job Knowledge	Possesses and continually updates requisite knowledge and understanding of assigned duties, responsibilities, policies, procedures and compliance requirements to perform the position. Demonstrates technical skills required for the position. Understands business needs and desired outcomes.
Work Product	Demonstrates quality product including accuracy and thoroughness in work required for the position. Plans and completes acceptable quantity of work within deadlines. Works with diligence and identifies opportunities to streamline or improve processes.
Customer Focus	Consistently exhibits professional demeanor with internal and external constituents and peers through verbal and written customer focused communication. This includes listening, understanding customer expectations/perspective and acknowledging and responding to concerns in a timely and helpful manner. Demonstrates commitment to exceptional service and timely problem resolution.
Dependability/Accountability/Professionalism	Follows through on assignments. Takes ownership of work. Is reliable, professional and responsible. Adheres to procedures, practices, and work schedule. Work is completed in a timely manner and within established deadlines effectively using resources. Demonstrates commitment to professional development.
Collaboration/Teamwork	Demonstrates cooperation and teamwork. Values and seeks input and expertise of others. Contributes to the team environment by working effectively with others on the team to accomplish work. Treats co-workers with respect, honesty and fairness. Resolves issues effectively and is viewed as a positive team member and/or colleague.
Communication	Communicates effectively and respectfully verbally and in writing. Follows instructions and shares information appropriately. Engages in meaningful two-way conversations. Listens attentively and clarifies information when necessary.
Commitment to/Demonstration of Inclusion & Welcoming Behavior in the Community	Creates a welcoming learning and working environment with productive and positive workplace relationships. Builds and supports a diverse and inclusive community by demonstrating respect in the workplace. Proactively identifies opportunities to increase awareness and hold self and others accountable for acting in a way which breaks down barriers between groups of difference. Creates an inclusive climate that accepts and welcomes diversity.

Core Competencies for those who supervise staff

Core Competencies for Those Who Supervise Others	
Management	Establishes performance expectations for staff. Provides timely, effective and meaningful feedback that motivates staff members to improve their performance. Builds and supports a high performing team. Assists employees in eliminating barriers to performance and provides encouragement for skill development. Delegates responsibility appropriately. Recognizes and rewards achievement.
Leadership	Establishes clear vision for staff and motivates employees to achieve their best performance. Engages and motivates staff, coaching for peak performance. Promotes a welcoming, inclusive and supportive work environment and fosters continuous improvement. Makes outreach efforts and uses resources to create a diverse workforce. Leads and manages change. Builds and manages relationships across the department and University.



Annual Appraisal Forms

Why are there two versions of the Annual Appraisal, and how do I decide which one to use?

Two versions of the *Annual Staff Performance Evaluation* form are available. Each form addresses all aspects of an employee's performance, and should guide an open and honest conversation with your staff members about performance. You are required to use the same form for all 'similarly situated' employees in your department, i.e., all staff at the same job grade, or all staff performing similar work, having the same job title or reporting to the same supervisor.



Competency Form

The ***Competency-Based*** form provides the opportunity to evaluate individual job skills and approaches to work, and comment on each. This approach to discussing performance may help clarify for staff members how their work compares to department standards, and identify specific areas where their contributions have met, exceeded, or not met standards.



Narrative Form

The *Narrative* form provides the opportunity to review an individual's performance more comprehensively, giving managers an opportunity to discuss performance on work projects and outcomes and referencing individual competencies without focusing on them individually.



Performance Rating Guide - Exceptional

EXCEPTIONAL – Performance consistently exceeds expectations and delivers exceptional results in performance against goals and core functions. Demonstrates innovation and initiative in all aspects of the position. Work is widely recognized and positively and significantly impacts department/ University operations. Sets a new standard.

Key considerations:

- All competencies have been demonstrated or developed in an outstanding manner
- Consistently volunteers to take on new tasks and/or initiatives and sees through to completion without the need for direction and with little to no coaching
- Consistently presents viable solutions to problems and the plan to execute the solutions
- Goals were not just met but were achieved in a manner that consistently surpassed the expected outcomes.
- The employee pivoted and took on new duties outside of their role and flawlessly implemented new processes/procedures, and nimbly adapted to change.



Performance Rating Guide – Highly Effective

HIGHLY EFFECTIVE – Performance frequently exceeds expectations and job requirements. Performance at a level beyond expectations is sustained, and the quality of work is uniformly high.

Key Considerations:

- Quantity, quality, complexity, and timeliness of the work were effective, and at times, exceeded expectations.
- Quality of work increased while the quantity of work met expectations.
- Quality of work met expectations while the volume of work increased for a brief time period.
- The employee contributed as needed to changing priorities with a positive attitude and met performance expectations.
- The employee shows interest in developing new knowledge and skills



Performance Rating Guide - Effective

EFFECTIVE - Consistently meets requirements of the position in terms of quality and quantity. At times employee may exceed expectations. Overall, employee makes solid, reliable and meaningful contributions to the department with on-time results.

Key Considerations:

- Performs assigned responsibilities consistently well and in a timely manner
- Effectively applies technical skills and knowledge to get the job done and ensure that organizational goals are met
- Shows good work habits, follows established work schedule and completes projects and tasks thoroughly
- Demonstrates solid team skills, learns from mistakes and contributes in a positive way to the overall work climate in the division



Performance Rating Guide – Requires Improvement

- **Needs Improvement:** Demonstrates satisfactory performance in some areas; however, does not perform or meet expectations consistently. Employee needs to acquire and/or develop necessary skills and build/sustain acceptable standard of performance.

Key Considerations:

- Employee has had enough time to learn position and understand what is expected in terms of duties and responsibilities, but some improvement is still required in certain areas.
- Create work pressures on others internal and external to the department related to workload and timeliness.
- Makes and repeats mistakes in areas where they probably should not be occurring.
- May spend undue time on unimportant items or items of lower priority, neglecting problems or projects that should have priority.



Training & Resources

(available on UHR Performance & Development Planning Website under *Resources and Training*)

- Tips for Staff Self-Appraisals
- Self Directed Management Online Module
- Workday Learning Job Aids
- University Ombuds Office
- Office of Employee and Labor Relations



Tips for Writing a Performance Appraisal

- Encourage and/or remind your employees to submit a self-appraisal. They should document positive occurrences such as completed projects, and developmental opportunities so that along with your observations, you will have a comprehensive look at the employee's performance during the time period that your discussion covers.
- The employee should never hear about positive performance or performance in need of improvement for the first time at your formal performance discussion meeting, unless it is new information or insight. Effective managers discuss both positive performance and areas for improvement regularly, even daily or weekly. Aim to make the contents of the performance review discussion a re-emphasis of critical points.
- Avoid focusing on the most recent or memorable activities as the sole basis for the review. Recent events color your judgment of the employee's performance. Instead, you are responsible to document positive occurrences such as completed projects, and negative occurrences such as a missed deadline, during the entire period of time that the performance review covers.
- Where appropriate, solicit feedback from colleagues who have worked closely with the employee. Start with informal discussions to obtain feedback information.



Prepare! Prepare! Prepare!

Never go into a performance review without preparation. If you wing it, performance reviews fail. You will miss key opportunities for feedback and improvement and the employee will not feel encouraged about their successes.



Tips for Performance Appraisal Discussion

Prepare! Prepare! Prepare! Never go into a performance review without preparation. If you wing it, performance reviews fail. You will miss key opportunities for feedback and improvement and the employee will not feel encouraged about their successes.

When you meet with the employee, spend time on the positive aspects of his or her performance. In most cases, the discussion of the positive components of the employee's performance should take up more time than that of the negative components. For your above average performing employees and your performing employees, positive feedback and discussion about how the employee can continue to grow her performance should comprise the majority of the discussion. The employee will find this rewarding and motivating.

Address areas of performance that need improvement – Don't neglect the areas that need improvement. Especially for an underperforming employee, speak directly and don't mince words. If you are not direct, the employee will not understand the seriousness of the performance situation. Use examples from the whole time period covered by the performance review.

The spirit in which you approach this conversation will make a difference in whether it is effective. If your intention is genuinely to help the employee improve, and you have a positive relationship with the employee, the conversation is easier and more effective. The employee has to trust that you want to help him/her improve his/her performance. He/she needs to hear you say that you have confidence in his/her ability to improve. This helps him/her believe that he/she has the ability and the support necessary to improve.



Tips for Performance Appraisal Discussion (cont'd)

Conversation is the key word that should define a performance review meeting. If you are doing all of the talking or the meeting becomes a lecture, the performance review is less effective. The employee will feel as if he or she was yelled at and treated unjustly. This is not how you want employees feeling as they leave their performance reviews.

You want an employee who is motivated and excited about his ability to continue to grow, develop, and contribute. Aim for performance review meetings in which the employee talks more than half of the time. You can encourage this conversation by asking questions such as these:

- *What three things are you most proud of in your work?*
- *What are your three most challenging opportunities in your work?*
- *What do you need to overcome these opportunities from me or the department?*
- *What are you going to do to overcome these opportunities? (you should get a time commitment)*



Examples of Written Feedback

The following examples are brief excerpts of written feedback provided to support the four performance appraisal ratings. These samples are meant to serve as a basis for feedback, and they are not meant to be copied exactly for employees rated as exceptional, highly effective, effective , or requires improvement:

Exceptional

Robert oversaw an enormous and quick operational shift required with respect to people, processes, procedures, and end product due to the pandemic. Specifically, they overhauled operational work to comply with the requirements of the COVID-19 campus safety requirements while simultaneously shifting the distribution of products to 100% customer pick up. In doing so, this staff member worked with their team to create new processes and procedures for meeting students' needs, while remaining committed to providing the highest quality of customer satisfaction and service. This staff member's can-do attitude, dedication, and leadership were stellar.



Examples of Written Feedback (cont'd)

Highly Effective

In addition to carrying out their regular job responsibilities, Carol, a department manager, was responsible for a significant project from initiation to completion. In overseeing this project, she built positive relations and partnered with other University offices to manage the logistics associated with planning for moving a department of over one-hundred into a newly-renovated section of a building. This renovation and move took ten months and included multiple deliverables, such as space planning, workspace allocation and more. All of this was completed in compliance with the COVID-19 campus safety requirements.

Effective

Donna was hired in the fall of 2019 to manage a program that was supposed to run in June of 2020 and was cancelled due to the pandemic. Over the last performance period, they took on numerous other duties within the division, including community building work, assisting with processing of 4,000 program deposit refunds, and supporting another area within the division as they had previous experience in that line of work. Though the staff member may not have had the year they intended to have in their new role, they stepped up in so many ways to contribute to the ever-changing priorities. As a result, this staff member is an indispensable member of the team.



Examples of Written Feedback (cont'd)

Needs Improvement

John does not meet the management expectations for a person in a trainer role. He does not adapt well to the changing nature of client-facing positions and cannot work well under pressure. This often results in the inability to remain positive and channel frustrations into a positive outcome. John is capable of effectively communicating with peers and clients, but he needs to improve the team-building and collaboration skills necessary to succeed in this position. I am encouraged by John's drive for personal excellence, and I believe this energy can be transferred to a professional role with more training and experience in time management, active listening, and industry-specific knowledge.



Frequently Asked Questions

- 1. Who is the Performance Partner for my department?** You'll find Performance Partners listed on the roles tab, when you click into the Organization name on the Job Details in your profile.
- 2. When and where can my staff member view performance appraisals in Workday?** Staff members will first see their own reviews in Workday once it has been approved by the Assistant Director of Employee & Labor Relations for your area. As their manager, you will simultaneously receive a Workday notification informing you that the appraisal has been approved and it is now visible to the employee for acknowledgement. After the staff member acknowledges the appraisal (with or without comments) and the review is finalized, you both are able to view the form in Workday on the Performance tab of the worker profile.



Frequently Asked Questions (*cont'd*)

- 3. I have a staff member who is still in the probationary period, and / or I have a staff member who hasn't completed a full year of employment. Are there any considerations for probationary and shorter-term employees?** Staff who have completed the probationary period, but haven't been employed for a full appraisal cycle, should still receive an annual performance appraisal; however, during the annual merit increase process, increases should be pro-rated to reflect the staff member's limited employment period. Given their limited time in the department, staff who have not completed the probationary period should not receive an appraisal during the annual cycle. Employees hired between January 1st and April 1st and who are still in the probationary period, may be recommended to receive a pro-rated increase if their performance meets expectations. When recommending a merit increase for a probationary employee, managers should enter "N/A" in the rating category of the merit increase spreadsheet. Approximately a month before the employee's completion of the probationary period, managers will receive a probationary appraisal in their Workday inbox.



Frequently Asked Questions (*cont.*)

4. **My staff member has a part time position at Brown in addition to a job in my department. Who will receive the annual performance appraisal in Workday?** Annual performance appraisals will route to the manager of the primary position. Managers of the staff member's additional position may be asked to provide feedback about performance to the primary position's manager who can add this feedback to the review form.
- For staff members who transferred into your department during the appraisal cycle, feedback from their prior manager should be incorporated, so that the annual appraisal reflects the staff member's full year of work. The current manager will be responsible for determining the overall performance rating that best reflects the feedback provided.



Frequently Asked Questions (*cont.*)

- 5. My own manager wants to review the appraisal I am preparing for the staff member I supervise. How and when in the process can I share a draft?** Before you select the Submit button to route the appraisal to your Performance Partner, use the printer icon to generate a PDF version to share with your manager.
- 6. After our conversation about performance, my staff member and I have agreed to make changes to the appraisal. How can we do that?** After approval by the Performance Partner, the appraisal is finalized and can't be revised. To include agreed upon changes, the employee should acknowledge the form and write a comment to summarize the changes.



Employee and Labor Relations

For further questions about the performance appraisal process, please contact us at employeeandlaborrelations@brown.edu or individually:

- Theresa Pollard, Assistant Vice President of Employee and Labor Relations, Theresa_Pollard@brown.edu
- Maria Chester, Assistant Director of Employee and Labor Relations, maria_chester@brown.edu
- Alison Light, Assistant Director of Employee and Labor Relations, alison_light@brown.edu

